

Substitute for form 1449A/PTO

**INFORMATION  
DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

1

of

3

Complete if Known	
Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	May
Group Art Unit	2765
Examiner Name	J. Germain
Attorney Docket Number	38866/204611

U.S. PRO 680265  
jc675 09/680265  
10/05/00

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
grf	1	3,581,072		Nymeyer	05-25-1971	
grf	2	4,674,044		Kaimus et al.	06-16-1987	
grf	3	4,677,552		Sibley, Jr.	06-30-1987	
grf	4	4,903,201		Wagner	02-20-1990	
grf	5	4,953,085		Atkins	08-28-1990	
grf	6	4,980,826		Wagner	12-25-1990	
grf	7	5,003,473		Richards	03-26-1991	
grf	8	5,077,665		Silvermann et al.	12-31-1991	
grf	9	5,126,936		Champion et al.	06-30-1992	
grf	10	5,136,501		Silverman et al.	08-04-1992	
grf	11	5,168,446		Wiseman	12-01-1992	
grf	12	5,193,056		Boes	03-09-1993	
grf	13	5,258,908		Hartheimer et al.	11-02-1993	
grf	14	5,285,383		Lindsey et al.	02-08-1994	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup> (if known) <sup>5</sup>				

Examiner Signature	<i>Jay Germain</i>	Date Considered	4/12/04
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number.<sup>2</sup> See attached Kinds of U.S. Patent Documents.<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.<sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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				First Named Inventor	May
				Group Art Unit	2765
				Examiner Name	J. Germain
Sheet	2	of	3	Attorney Docket Number	38866/204611

#### U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>7</sup>	U.S. Patent Document Number	Kind Code <sup>8</sup> (if known)	Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
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gab	28	5,940,810		Traub et al.	08-17-1999	
gab	29	5,950,176		Keiser et al.	09-07-1999	
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#### FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No.	Foreign Patent Document Office <sup>9</sup> <sup>11</sup> Number <sup>10</sup> (if known)	Kind Code	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>12</sup>
gab	32	0 399 850	A2	Reuters Limited	11-28-1990		
gab	33	0 407 026	A2	Reuters Limited	01-09-1991		
gab	34	0 411 748	A2	Reuters Limited	02-06-1991		
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gab	36	WO 96 05563	A	Reuters Limited	02-22-1996		
gab	37	WO 96 34357	A	MJT Holdings, Inc.	10-31-1996		
gab	38	WO 97 03409	A	Cedel Bank	01-30-1997		

Examiner Signature	<i>J. Germain</i>			Date Considered	4/12/04
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<sup>8</sup> See attached Kinds of U.S. Patent Documents.

<sup>9</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>10</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>11</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

<sup>12</sup> Applicant is to place a check mark here if English language Translation is attached.

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>				Application Number	Not Yet Assigned
				Filing Date	Concurrently Herewith
				First Named Inventor	May
				Group Art Unit	2765
				Examiner Name	J. Germain
				Sheet	3

## **NON PATENT LITERATURE DOCUMENTS**

Examiner Signature		Date Considered	4/12/04
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Substitute for form 1449 A/PTO  
(Revised 10/2001)

O.I.P.  
MAY 13 2002  
JC48

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use as many sheets as necessary)

Sheet

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of

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Complete if Known

Application Number	09/680,365
Filing Date	October 5, 2000
First Named Inventor	R. Raymond May
Group Art Unit	2164
Examiner Name	Coles, S.

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MAY 15 2002

Technology Center 2100

Attorney Docket Number 38866/204611

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	Document Number Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
2nd	1	US-5,101,353	03-31-1992	Lupien et al.	
2nd	2	US-5,270,922	12-14-1993	Higgins	
2nd	3	US-5,594,639	01-14-1997	Atsumi	
2nd	4	US-5,819,237	10-06-1998	Garman	
2nd	5	US-5,845,266	12-01-1998	Lupien et al.	
2nd	6	US-5,950,175	09-07-1999	Austin	
2nd	7	US-6,012,046	01-04-2000	Lupien et al.	
2nd	8	US-6,014,643	01-11-2000	Minton	
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Examiner Initials	Cite No.	Foreign Patent Document Country Code - Number Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
2nd	12	EP 0512702 A2	11-11-1992	Reuters Limited		

Examiner  
Signature

*Raymond May*

Date  
Considered

4/12/04

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Substitute for form 1449B/PTO  
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INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

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Sheet 2 of 2

Complete if Known

Application Number 09/680,365  
Filing Date October 5, 2000  
First Named Inventor R. Raymond May  
Group Art Unit 2164  
Examiner Name Shareill Coles  
Attorney Docket Number 38866/204611

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OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s) , volume-issue number(s), publisher, city and/or country where published.	T
<i>RJM</i>	13	RABATIN, Adaptive Portfolio Trading Strategies for Forex Portfolios, Journal, April 1997, Pages 1-11, Issue 4, Rabatin Investment Technology	
<i>RJM</i>	14	HIGGENS, Managing the Risk of Your Global Bond Portfolio, Journal, April 1996, Pages 13-16, Issue 0951-3604, Global Investor	
<i>RJM</i>	15	AVANZATO, How to Use The Collateral Carousel, Journal, January 1998, Pages 29-31, Issue 0262-6969, International Financial Law Review	
<i>RJM</i>	16	LUDWIG, Supervision by Risk, Journal, November 1995, Pages 52-60, Issue 1062-6271, Journal of Commercial Lending	
<i>RJM</i>	17	Derivatives Tool Merger, Report, February 19, 1996, Page 4, Volume 28, Number 4, Issue 1042-7252, Software Industry Report	
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Examiner Signature

*R. Raymond May*

Date Considered

4/12/04

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